



UNITED STATES ENVIRONMENTAL PROTECTION AGENCY
REGION II
290 BROADWAY
NEW YORK, NEW YORK 10007-1866

September 16, 2013

James L. Welch
Chief Executive Officer
YRC Worldwide, Inc.
10990 Roe Avenue
Overland Park, KS 66211

Re: Newtown Creek Superfund Site, Kings County and Queens County, New York
Request for Information Pursuant to the Comprehensive Environmental Response,
Compensation, and Liability Act, 42 U.S.C. §§ 9601-9675

Dear Mr. Welch:

The U.S. Environmental Protection Agency ("EPA") is charged with responding to the release and threatened release of hazardous substances, pollutants and contaminants into the environment and with enforcement responsibilities under the Comprehensive Environmental Response, Compensation, and Liability Act, as amended ("CERCLA"), 42 U.S.C. §§ 9601-9675 (also known as the "Superfund" law). More information about CERCLA, including a copy of the Superfund law, may be found at www.epa.gov/superfund.

EPA has documented the release and threatened release of hazardous substances into the environment at the Newtown Creek Superfund Site ("Site"). The Site includes a body of water located in Kings County and Queens County in the City of New York and the State of New York. Newtown Creek is a tidal arm of the New York-New Jersey Harbor Estuary that forms the northwestern-most border between the New York City boroughs of Brooklyn and Queens. It is a tributary of the East River and includes Newtown Creek proper and its five branches (or tributaries) which are known, respectively, as Dutch Kills, Maspeth Creek, Whale Creek, East Branch and English Kills, along an approximately 3.8-mile reach. References in this letter to "Newtown Creek" are meant to include Newtown Creek proper and its tributaries.

In response to the release and threatened release of hazardous substances into the environment at the Site, EPA has spent public funds and anticipates spending additional public funds. These actions have been and will be taken by EPA pursuant to CERCLA.

The Site has been listed pursuant to Section 105 of CERCLA, 42 U.S.C. § 9605, on the national priorities list of releases and threatened releases of hazardous substances, based upon the relative risk or danger to public health or welfare or the environment, for the purpose of taking action pursuant to CERCLA at such sites. Newtown Creek was listed pursuant to EPA rulemaking by publication in the *Federal Register*, on September 29, 2010. A remedial investigation and

feasibility study at the Site is currently being undertaken, under EPA oversight, by a group of potentially responsible parties pursuant to an administrative settlement agreement and order on consent. The remedial investigation focuses on a Study Area which includes the sediments and the waters of Newtown Creek. For further information on EPA's response actions, pursuant to CERCLA, at Newtown Creek, please see the information on EPA's website at <http://www.epa.gov/region2/superfund/npl/newtowncreek/>.

Historically, Newtown Creek drained the uplands of western Long Island and flowed through wetlands and marshes. However, due to heavy industrial development and governmental activities dating from the 1800's, formerly wet areas have been filled, Newtown Creek has been channelized, and its banks have been stabilized with bulkheads and rip rap.

The Newtown Creek area of Brooklyn and Queens has a history of extensive industrial development stretching back to the 1800's. By the second half of the nineteenth century, the area surrounding and adjacent to Newtown Creek had become highly industrialized. This development resulted in major reworking of the Creek banks and channel for drainage, municipal discharges, and navigation purposes. Hazardous substances discharged by industrial, municipal, and other sources over the years ended up in the Creek. Currently the predominant land use around Newtown Creek includes industrial, manufacturing, warehousing, transportation, municipal infrastructure, and utility facilities. Residential development is planned for the areas near the mouth of the Creek on both the Brooklyn and Queens sides.

The Site includes contaminated sediments for which there are numerous possible sources. Sampling events have shown the sediments in the Creek to be contaminated with a variety of hazardous substances which traverse almost the entire length of the Creek, and which include a wide variety of metals, pesticides, polycyclic aromatic hydrocarbons, phthalates, polychlorinated biphenyls and volatile organic contaminants.

As part of its investigation of potential sources of contamination to Newtown Creek, EPA is seeking information regarding entities which operated in the vicinity of Newtown Creek.

YRC Worldwide, Inc. is receiving this letter because EPA believes that the Company is the former owner and operator of four separate trucking facilities adjacent or in very close proximity to Newtown Creek located, respectively, at 448 and 460 Kingsland Avenue, Brooklyn, New York, 430 Maspeth Avenue, Brooklyn, New York, 1313 Grand Street, Brooklyn, New York and 49-40 Page Place, Queens, New York. EPA believes that hazardous substances originating from the Company's former facilities may have been, or may continue to be, released or may present a threat of release into Newtown Creek. Further, EPA believes that that the Company may have information relevant to the facility, its operations and to any such release or threats of release to Newtown Creek. Please note that EPA's investigation of the sources of contamination to Newtown Creek is expected to occur in phases. Thus, as EPA obtains information concerning the Site, the Agency may seek further information from you about the ownership or operation of the Company's Newtown Creek facilities.

INFORMATION REQUEST

This letter seeks your cooperation in providing information and documents relating to the Site. We encourage you to give this letter your immediate attention. A complete and truthful response to the attached Request for Information should be submitted to EPA within 45 days of your receipt of this letter.

Under Section 104(e) of CERCLA, EPA has broad information gathering authority which allows the Agency to require persons to provide information or documents relating to the materials generated, treated, stored, or disposed of at or transported to a facility, the nature or extent of a release or threatened release of a hazardous substance, pollutant, or contaminant or other waste materials at or from a facility, and the ability of a person to pay for or perform a cleanup.

While EPA seeks your cooperation in this investigation, your compliance with the enclosed Request for Information is required by law. When you have prepared your response to the Request for Information, please sign and have notarized the enclosed "Certification of Answers to Request for Information," and return that Certification to EPA along with your response. Please note that false, fictitious or fraudulent statements or representations may subject you to civil or criminal penalties under federal law. In addition, Section 104 of CERCLA, 42 U.S.C. § 9604, authorizes EPA to pursue penalties for failure to comply with requests for information.

It is possible that some of the information that EPA is requesting may be considered by you to be confidential business information. Please be aware that you may not withhold the information on that basis. If you wish EPA to treat all or part of the information confidentially, you must advise EPA of that fact by following the procedures described in the Instructions included with the enclosed Request for Information, including the requirement of supporting your claim of confidentiality.

Please note that if after submitting your response you obtain additional or different information concerning the matters addressed by the Request for Information, it is necessary that you promptly notify EPA.

This Request for Information is not subject to the approval requirements of the Paperwork Reduction Act of 1980, 44 U.S.C. §§ 3501-3520.

Your response to this Request for Information (in hard copy and pdf) should be sent to:

Michael A. Mintzer
Assistant Regional Counsel
New York/Caribbean Superfund Branch
Office of Regional Counsel
U.S. Environmental Protection Agency, Region II
290 Broadway, 17th Floor
New York, NY 10007-1866

mintzer.michael@epa.gov

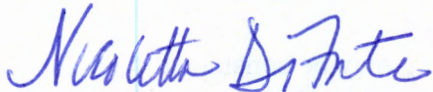
with a copy (in pdf only) to:

Caroline Kwan
Remedial Project Manager
New York Remediation Branch
Emergency and Remedial Response Division
U.S. Environmental Protection Agency, Region II
290 Broadway, 20th Floor
New York, NY 10007-1866
kwan.caroline@epa.gov

If you have any questions regarding this Request for Information, or would like to discuss this matter with EPA, you may call Mr. Mintzer at (212) 637-3168.

We appreciate and look forward to your prompt response to this information request.

Sincerely yours,



Nicoletta DiForte
Senior Enforcement Policy Advisor
Emergency and Remedial Response Division

Attachments

cc: Michelle A. Russell
Executive Vice President—General Counsel and Secretary
YRC Worldwide, Inc.
10990 Roe Avenue
Overland Park, KS 66211

DIRECTIONS AND DEFINITIONS FOR RESPONDING TO REQUEST FOR INFORMATION

A. Directions

1. A complete and separate response should be given for each question.
2. Please respond to the Requests for Information separately for each of the "Facilities" (see Definition 9), as though each Facility was the subject of a separate Request for Information.
3. Identify each answer with the number of the question to which it is addressed.
4. Please provide one hard copy as well as one pdf copy (on compact disc) of your response and documents to Mr. Mintzer, and one pdf copy (on compact disc) to Ms. Kwan. Please see Directions numbered 14 and 15, below with respect to any documents that the Company may assert are entitled to confidential treatment.
5. For each document produced in response to this Request for Information, indicate on the document, or in some other clear manner, the question to which it applies.
6. In preparing your response to each question, consult with all present and former employees and agents of the Company whom you have reason to believe may be familiar with the matter to which the question pertains.
7. In answering each question, identify each individual and any other source of information (including documents) that was consulted in the preparation of the response to the question.
8. If you are unable to give a detailed and complete answer, or to provide any of the information or documents requested, indicate the reason for your inability to do so.
9. If you have reason to believe that an individual other than one employed by the Company, as the term is defined below, may be able to provide additional details or documentation in response to any question, identify that person.
10. If a document is requested but not available, state the reason for its unavailability. To the best of your ability, identify the document by author, date, subject matter, number of pages, and all recipients of the document with their addresses.
11. If anything is omitted from a document produced in response to this Request for Information, state the reason for, and the subject matter of, the omission.
12. Whenever this Request for Information requests the identification of a natural person, or other entity, the person or entity's full name and present or last known address also should be provided.
13. If a response to any question is answered completely by a response to another question, or a request for a document has been addressed by a separate production, you may cross

reference the responses so that you do not need to provide a duplicate response or duplicate documents.

14. Confidential Information. The information requested herein must be provided even though you may contend that it includes confidential business information or trade secrets. You may assert a confidentiality claim covering part or all of the information requested, pursuant to Sections 104(e)(7)(E) and (F) of CERCLA, 42 U.S.C. §§ 9604(e)(7)(E) and (F), and 40 C.F.R. Section 2.203(b).
15. If you make a claim of confidentiality for any of the information you submit to EPA, you must prove that claim. For each document or response you claim to be confidential, you must separately address the following points:
 - a. the portions of the information which are alleged to be entitled to confidential treatment;
 - b. the period of time for which confidential treatment is desired (e.g., until a certain date, until the occurrence of a specific event, or permanently);
 - c. measures taken by you to guard against the undesired disclosure of the information to others;
 - d. the extent to which the information has been disclosed to others, and the precautions taken in connection therewith;
 - e. pertinent confidentiality determinations, if any, by EPA or other federal agencies, and a copy of any such determinations or reference to them, if available; and
 - f. whether you assert that disclosure of the information would likely result in substantial harmful effects on your business' competitive position, and if so, what those harmful effects would be, why they should be viewed as substantial, and an explanation of the causal relationship between disclosure and such harmful effects.

To make a confidentiality claim, please stamp, or type, "confidential" on all confidential responses and any related confidential documents. Confidential portions of otherwise non-confidential documents should be clearly identified. Please submit your response so that all non-confidential information, including any redacted versions of documents, are in one envelope and all materials for which you desire confidential treatment are in another envelope. For documents submitted in pdf on compact disc, please send separate compact discs for confidential information.

All confidentiality claims are subject to EPA verification. It is important that you satisfactorily show that you have taken reasonable measures to protect the confidentiality of the information and that you intend to continue to do so and that it is not and has not been obtainable by legitimate means without your consent. Information entitled to confidential treatment will be disclosed by EPA only to the extent permitted by CERCLA Section 104(e) and 40 C.F.R. Part 2, Subpart B. If no such claim accompanies the information when it is received by EPA, then it may be made available to the public by EPA without further notice to you.

B. Definitions

1. As used herein, the term “Newtown Creek” shall refer to Newtown Creek, and shall include its five branches or tributaries, namely Dutch Kills, Maspeth Creek, Whale Creek, East Branch and English Kills.
2. As used herein, the term “Site” shall refer to Newtown Creek and any areas that have been a source of contamination to Newtown Creek, or are places where releases of such contamination to Newtown Creek have come to be located.
3. As used herein, the term “hazardous substance” shall have the meaning set forth in Section 101(14) of CERCLA, 42 U.S.C. § 9601(14). The substances which have been designated as hazardous substances pursuant to Section 102(a) of CERCLA (which, in turn, comprise a portion of the substances that fall within the definition of “hazardous substance” under Section 101(14) of CERCLA) are set forth at 40 CFR Part 302.
4. As used herein, the terms “hazardous waste,” “disposal” and “storage” shall have the meanings set forth in Sections 1004(3), (5) and (33) of the Resource Conservation and Recovery Act (“RCRA”), 42 U.S.C. §§ 6903(3), (5) and (33), respectively.
5. As used herein, the term “industrial waste” shall mean any solid, liquid or sludge or any mixture thereof which possesses any of the following characteristics:
 - a. it contains one or more “hazardous substances” (at any concentration) as defined in 42 U.S.C. § 9601(14);
 - b. it is a “hazardous waste” as defined in 42 U.S.C. § 6903(5);
 - c. it has a pH less than 2.0 or greater than 12.5;
 - d. it reacts violently when mixed with water;
 - e. it generates toxic gases when mixed with water;
 - f. it easily ignites or explodes;
 - g. it is an industrial waste product;
 - h. it is an industrial treatment plant sludge or supernatant;
 - i. it is an industrial byproduct having some market value;
 - j. it is coolant water or blowdown waste from a coolant system;
 - k. it is a spent product which could be reused after rehabilitation; or
 - l. it is any material which you have reason to believe would be toxic if ingested, inhaled or placed in contact with your skin.
6. As used herein, the term “release” shall have the meaning set forth in Section 101(22) of CERCLA, 42 U.S.C. § 9601(22).
7. As used herein, the term “Company” refers to the addressee YRC Worldwide, Inc. and to predecessor entities or affiliates including, without limitation, Yellow Freight System, Inc., Yellow Transportation, Inc., Roadway Express, Inc. and Yellow Roadway Corp. and to all other predecessors or affiliates (see Definition 8) if such other predecessors or affiliates owned or conducted business at any of the Facilities (see Definition 9.a.).

8. As used herein, the term "affiliate" or "affiliated" refers to all entities controlling, controlled by or in common control with the Company, whether currently in existence or no longer in existence.
9. As used herein, the terms:
 - a. "Kingsland Avenue Facility" shall mean the facility located at 448 Kingsland Avenue and 460 Kingsland Avenue, Brooklyn, New York (Borough of Brooklyn, Block 2612, Lot 20), together with the structures, infrastructure and other improvements located thereon;
 - b. "Maspeth Avenue Facility" shall mean the facility located at 430 Maspeth Avenue, Brooklyn, NY (Borough of Brooklyn, Block 2928, Lot 30), together with the structures, infrastructure and other improvements located thereon;
 - c. "Grand Street Facility" shall mean the facility located at 1313 Grand Street, Brooklyn, NY (Borough of Brooklyn, Block 2930, Lot 90), together with the structures, infrastructure and other improvements located thereon;
 - d. "Page Place Facility" shall mean the facility located at 49-40 Page Place, Queens, NY (Borough of Queens, Block 130 (formerly Lots 110, 116 and 130) (also known as 57-54 Page Place), together with the structures, infrastructure and other improvements located thereon;
 - e. "Facility" or "Facilities" shall mean as the context suggests, either one or more of the Kingsland Avenue Facility, Maspeth Avenue Facility, Grand Street Facility and/or the Page Place Facility; and
 - f. "Other Newtown Creek Property(ies)" shall mean all other properties or facilities, if any, now or formerly owned or operated by the Company within the area extending one-thousand feet from the shoreline of Newtown Creek (including each branch or tributary of Newtown Creek).

Please refer to Direction number 2 to this Request for Information which requires a separate response for each of the "Facilities" as though each Facility was the subject of a separate Request for Information.

10. The term "identify" means, with respect to a natural person, to set forth the person's name, present or last known employer and business address and business telephone number, present or last known home address and home telephone number, and present or last known job title, occupation, position or business.
11. The term "identify" means, with respect to a corporation, partnership, business trust or other association or business entity (including a sole proprietorship) to set forth its full name, address, legal form (e.g., corporation, partnership, business trust, etc.), a brief description of its business and its ultimate parent corporation.
12. Other defined terms:

- a. As used herein, the term “Facility Plan” means one or more diagrams or depictions of a Facility providing the information requested by the Request for Information.
 - b. As used herein, the term “MSDS” means Material Safety Data Sheet.
13. All terms not defined herein shall have their ordinary meanings, unless such terms are defined in CERCLA or RCRA or in their implementing regulations, in which case the statutory or regulatory definitions apply.

REQUEST FOR INFORMATION

Section 1.0 Company Information

1. Company Identification. Provide the following information with respect to the Company (see Definition 7).
 - a. The full legal, corporate name and mailing address.
 - b. The state and date of incorporation of the Company, the date of qualification to do business in the State of New York and the Company's agents for service of process in the state of incorporation and the State of New York.
 - c. The identity of the Chief Executive Officer or other presiding officer of the Company.
 - d. If the Company is a successor to any other entity by merger, asset or stock acquisition, change of name or other activity, identify each predecessor and identify the nature of the succession.
 - e. If the Company is a subsidiary or division of another entity, identify each parent entity.
2. Future EPA Communications. If the addressee of this letter requests that future communications from EPA regarding the Site be sent to a particular individual or office, provide the name, address, telephone number, e-mail address and capacity of such individual or office.

Section 2.0 Company's Ownership/Operator Information of the Facilities and Newtown Creek

3. Company's Relationship to each Facility. Identify the Company's relationship to each Facility (**Note: Please provide a separate response for each Facility as provided by Direction number 2, above**), including:
 - a. The Company's ownership and operational interest in the Facility including the corporate identity of the entity that holds or held such interest.
 - b. Dates of acquisition, disposition and operation of the Facility and the identity and relationship, if any, between the Company and the transferor and transferee.
 - c. If the Company was the lessor or lessee for any Facility, please identify the other party to the lease, the term of the lease and the business activity engaged in pursuant to the lease.
 - d. Provide a copy of all deeds evidencing the acquisition or disposition of the Facility and of all leases relating to the operation of the Facility.
 - e. Identify any affiliates (see Definition 8) of the Company that may own or conduct business at each of the Facilities (see Definition 9.e) or at any Other Newtown Creek Property (see Definition 9.f), and for any such affiliate, identify the nature of the relationship between the Company and the affiliate and the activities

conducted by the affiliate at the Facility or at the Other Newtown Creek Property.

4. Operations at the Facilities.

- a. Please identify the principal business operations conducted at each Facility by the Company and by any other individual or business organization operating at the Facility during the entire period that the Company operated at the Facility.
- b. If the Company conducted transportation related activities, identify the activities related to such transportation and describe in detail activities including, vehicle garaging, fueling, repairing, maintaining, washing loading or unloading, warehousing of products and all other activities. Provide any Company literature that describes all such activities. The response to this question may be combined with the response to Question 19.
- c. State whether vessels were used at the Facility and, if so, the purpose for the use of vessels and describe vessel loading procedures and steps taken to prevent discharge into the Creek.
- d. Please indicate on the Facility Plan (see question 5, below, and Definition 12.a) the areas that such activities are or were engaged in at each Facility.

5. Facility Plan and Historic Maps, Drawings, Surveys and Photographs of the Facility.

- a. Facility Plan. Please provide a Facility Plan showing:
 - i. Buildings and improvements,
 - ii. Bulkheads,
 - iii. Ship loading and unloading and vehicle loading and unloading areas,
 - iv. Sanitary and storm sewers,
 - v. Below-ground infrastructure including tanks and pipes,
 - vi. Above-ground infrastructure including tanks, spill containment facilities and pipes,
 - vii. Over-water or in-water facilities (e.g., piers, docks, cranes), and
 - viii. Discharge facilities including pipes discharging to Newtown Creek or NYC sewers and other discharge features.
- b. Historic Photos, Maps, Surveys, Etc. Please provide such other maps, drawings, surveys (including Sanborn maps) and historic photographs (including aerial photos) in the Company's possession which provide information relevant to the layout, construction, processes, bulkheads, or vehicle activities (washing, servicing, fueling or storage), or other operations at the Facility.

6. Current and Historic Depiction of the Facility.

- a. Provide a copy of schematic drawings or plans, in the Company's possession, depicting the scrap metal processes and infrastructure employed in business operations.

- b. Provide such other drawings, maps, photographs and surveys, including, for example, Sanborn maps of the Facility, in the Company's possession showing features of the Facility either before or during the time of the Company's ownership or operation that would provide an understanding of the configuration of and operations at the Facility.
7. Ownership of Newtown Creek. At the present time or at any past time, has the Company:
- a. Owned any portion of "Newtown Creek" (see Definition 1) or any wetlands associated with Newtown Creek?
 - b. Did the Company control or assert exclusive rights to any area of Newtown Creek, for any purpose including, without limitation, berthing or loading barges, dredging or filling in Newtown Creek to maintain water depths, or for construction, maintenance or repair of any facility located in the waters or the associated wetlands or sediments of Newtown Creek, including, by way of example, bulkheads, rip rap, pipes, wharfs, piers, docking, loading or unloading facilities, cranes or other over-water facilities?
 - c. If the answer to either subparagraph "a" or "b" of this paragraph is yes, please identify the areas owned or controlled by the Company, or over which the Company has or had a right to use, provide an explanation of how and from whom the Company acquired such ownership or control, provide a copy of all title documents, leases, permits or other instruments where such right was derived, show the areas on the Facility Plan, and describe all activities conducted pursuant thereto.
8. Activities in Newtown Creek.
- a. Describe all activities at the Facility that were conducted by or for the Company over, on, under, or adjacent to Newtown Creek.
 - b. Has the Company at any time conducted any sampling activities within Newtown Creek and, if so, identify the purpose for such sampling and provide a copy of all sampling results and reports generated by or for the Company in connection with such sampling activities.
 - c. Has the Company, at any time, conducted any dredging within Newtown Creek and, if so, identify the purpose of such dredging, provide a copy of all permit applications and all permits associated with such dredging and provide a copy of all reports generated by or for the Company in connection with such dredging activities.
 - d. Has the Company at any time constructed or operated any facility in or over the waters or on the sediments of Newtown Creek, including any bulkheads, rip-rap, wharfs, piers, docking, loading or unloading facilities, containment booms, cranes or other on-water or over-water facilities?
 - e. Has the Company at any time constructed, operated or utilized any facility under the waters or sediments of Newtown Creek, including without limitation pipes, pipelines, or other underwater or under sediment facilities?

- f. If the answer to subparagraph "b", "c", "d", or "e" of this paragraph is yes, please provide details including:
- i. A summary of the Company's activities in, over or under the waters or sediment of Newtown Creek.
 - ii. Information regarding the facilities constructed or operated, the dates of such construction, replacement or major modification, whether there were discharges into the waters of Newtown Creek associated with construction or maintenance of such facilities, and all permits associated with the construction or operation.
 - iii. The source of the Company's authorization to construct or maintain such facilities in Newtown Creek including identification of the operating document (deed, lease, easement, license, permit, etc.) and the identity of the grantor, and provide copies of the relevant deeds, leases, licenses and permits.
9. Bank Erosion, Overland Transport and Overwater Activities at or From the Facility to Newtown Creek.
- a. Description of Bulkheads and Bank Stabilization. Describe all bank stabilization systems at the Facility, including bulkheads, rip rap, vegetation or other systems, and the construction materials and mode of construction used. Identify on the Facility Plan the extent and type of shoreline stabilization at all areas of the Facility. State whether there has been or whether there is any ongoing bank erosion, and identify on the Facility Plan the location of shoreline erosion. Identify the Company's role and responsibility in building and maintaining the bulkheads and other shoreline stabilization systems. Describe the system, if any, for preventing materials upland of the bulkhead from releasing into Newtown Creek. State whether there are weep holes or gaps or openings in the bulkheads or shoreline stabilization systems and, if so, whether upland storm water, Facility materials or water from Newtown Creek passes through the bulkhead or shoreline stabilization system.
 - b. Documents Relating to Bank Stabilization.
 - i. Provide a complete set of construction drawings and specifications relating to bulkheads and other bank stabilization systems.
 - ii. Identify all permits issued to the Company for bulkheads or other bank stabilization systems and provide a copy of all permits and permit applications.
 - iii. Provide a copy of all correspondence with regulatory authorities relating to bulkheads and bank stabilization, including, without limitation, notices of violation and their disposition.
 - iv. Provide a copy of all studies, reports or plans relating to the construction, repair or maintenance of bulkheads and other shoreline stabilization systems.

- v. Provide a copy of all contracts and invoices with third parties relating to repair or maintenance of bulkheads and other bank stabilization systems.
- 10. Outfalls into Newtown Creek. Identify and show on the Facility Plan all current and previous outfalls or discharge points from the Facility into Newtown Creek, including location of outfall, gallons per day and source of influent to Newtown Creek. Please identify whether each outfall operates currently or is defunct and, if defunct, when each outfall operated and the circumstances of its closing. Please identify and provide a copy of all permits associated with each outfall and state whether any such outfall is or was permitted or not permitted. Provide a copy of all waste water management and drainage studies, reports or plans for all periods during the Company's ownership, occupancy and/or operation of the Facility.
- 11. Construction, Excavation and Land Filling Activities.
 - a. Describe all construction, excavation, and land fill activities undertaken by the Company at the Facility, including without limitation removal or installation of underground or above ground infrastructure.
 - b. Show on the Facility Plan where all activities described in subparagraph "a" occurred.
 - c. State whether excavated materials or fill materials have ever been characterized and, if so, provide a copy of the sampling/characterization results.
- 12. Facility Storm Water Drainage.
 - a. Describe how storm water is managed and drained at the Facility and depict on the Facility Plan all drainage flow and drainage infrastructure including all receiving facilities for storm water. Separately explain and depict point source drainage through pipes or other conveyances as well as sheet flow or surface water runoff.
 - b. Identify and provide a copy of all permits for drainage and provide a copy of all data from sampling discharges of storm water.
 - c. Provide a copy of all drainage studies, reports or plans for all periods during the Company's ownership, operation or occupancy of the Facility.
 - d. Identify on the Facility Plan elevations of the Facility relative to Newtown Creek. State whether elevations have changed during the period of the Company's ownership or operation of the Facility and describe all such changes.
- 13. Facility Process Water Management. Identify all waste water streams, other than sanitary waste water from rest rooms that is generated at the Facility, and identify the activities generating such waste water. Describe how process waste water is managed at the Facility and depict on the Facility Plan all process and waste water treatment and disposal facilities. If waste water facilities have changed over the years of the Company's ownership or operations, describe infrastructure changes and the dates such changes were

placed into use. Identify and provide a copy of all permits for management or drainage of process waste water. Provide a copy of all data from sampling discharges of waste water, including all data from sampling any process or business waste stream currently or formerly generated at the Facility. Provide a copy of all waste water management and drainage studies, reports or plans for all periods during the Company's ownership or occupancy of the Facility.

14. Connections to New York City sewer system.

- a. State whether the Facility is or was connected to the New York City sewer during the Company's ownership or operation and the date that the Facility was first connected.
- b. Identify the waste streams (sanitary, storm water, process water), if any, connected to the New York City sewer.
- c. Identify all liquid waste streams not connected to the New York City sewer and describe disposal of such waste streams.
- d. State whether the Facility ever discharged any liquid wastes other than to the New York City sewer system and, if so, provide details on such discharges.
- e. State whether the Facility participated in the New York City pretreatment program, and whether the Company has ever been classified as a significant industrial user.
- f. Provide copies of all permits and permit applications for New York City Industrial Wastewater discharge permits.
- g. Provide copies of all notices of violations, correspondence, hearing transcripts and dispositions relating to the Company's use of the New York City sewer system.
- h. Provide copies of all surveys, reports or analyses delineating or characterizing the Company's liquid wastes.

15. Other Newtown Creek Properties. Please identify each Other Newtown Creek Property (see Definition number 9.f for "Other Newtown Creek Property"), if any, currently or formerly owned or operated by the Company (including any affiliate (see Definition 8)), including:

- a. Nature of the Company's interest in each Other Newtown Creek Property.
- b. Corporate identity of the entity that holds or held such interest.
- c. Address, Borough, Block and Tax Lot Identification of each Other Newtown Creek Property.
- d. The principal business and each other line of business conducted at each Other Newtown Creek Property.
- e. All deeds evidencing the acquisition or disposition of the Facility and all leases relating to the operation of the Facility, and provide copies of such deeds and leases.

16. Storage and Combustion of Coal. Has the Company stored or combusted coal at the Facility during the time of its ownership or operation? If your answer is yes, please respond to the following requests for information and identify the following for all periods of time related to the responses:
- The purpose for which coal was present at the Facility.
 - The annual volume and type or types of coal (i.e. bituminous, anthracite, etc.) handled at the Facility.
 - The location and manner of coal storage at the Facility.
 - The coal storage, shipment and transfer locations on the Facility Plan.
17. Historic Ownership and Operation of the Facility. Please identify, if known to the Company, the identity of prior owners or operators of the Facility, the nature of operations conducted, whether such prior owners or operators are in existence or, if not, whether they have been dissolved, merged or acquired by another entity, the existence of outfalls to Newtown Creek during such prior ownership or operation and contact information for such prior owners or operators.

Section 3.0 Company's Operational Activities

18. Vessels. Has the Company utilized barges, tankers or other vessels in any operations on Newtown Creek? If so, provide details of such operations. Identify whether the Company receives or ships materials from the Facility, the nature of the vessels used, and the identification of the materials transferred to or from vessels. Please describe spill prevention controls utilized by the Company and the dates that such controls were installed at the Facility and spill prevention controls utilized by the vessel owners or operators. Identify with specificity all vessel-related spills or discharges that may have occurred during the period of the Company's ownership or operation of the Facility.
19. Vehicles. Has the Company utilized vehicles in its operations at the Facility? If the answer is yes, please provide the following:
- Describe the purpose for the vehicles used in connection with operations at the Facility and identify the type and number of vehicles employed at the Facility.
 - Identify whether the following activities were conducted: vehicle loading, vehicle unloading, vehicle maintenance, vehicle refueling, and vehicle washing. If yes, describe each such activity and identify on the Facility Plan the area where such activity occurred.
20. Bulk Storage Containers.
- If the Facilities have or had bulk storage of petroleum or chemicals, please show the location of each storage tank on the Facility Plan and describe each tank by volume, construction materials, spill prevention and containment systems and whether it is located above- or below- ground. Identify the materials currently and historically stored in each tank, including the types of petroleum products and

- additives handled at any time during the operation of the Facilities, and identify the purpose and use of such stored materials at the Facility. Provide a copy of the material safety data sheet ("MSDS") for each such material.
- b. Provide all documents related to permitting, inspection, maintenance, cathodic protection, product inventory levels, spills, cleaning, and closure of such tanks and correspondence between the Company and regulatory authorities concerning the storage tanks.
21. Chemicals and Other Materials Used, Produced and Generated at the Facility. Identify the compounds and chemicals received, stored and used at the Facility and the purpose that the compounds and chemical were acquired.
- a. For receipt of materials, please identify all such materials, being specific in identifying such each item including brand name of any chemical or, if generic, the identity and description of such material, the purpose for which it was received and the process in which it was employed. Please provide copies of MSDSs for each such chemical. Identify the annual volume of receipt of such materials.
- b. Identify all products produced at the Facility or shipped from the Facility and, if applicable, provide copies of MSDSs. Identify the approximate annual volume of production at the Facility by product line.
- c. Describe in detail how and where the hazardous substances, hazardous wastes, and industrial wastes are or were generated at the Facility and how they were disposed. For each disposal location and method, state the nature and quantity or the material disposed on an annual basis.
22. Oil/Water Separators. Identify all oil/water separators at the Facility during the Company's ownership or operation including dates of installation, dates of replacement or major modification, purpose of installation and source of influent, and location of discharge. Provide a copy of each permit and permit application, influent and effluent sampling results and copies of all submissions to federal, state, city or county environmental agencies or public health agencies relating to oil/water separators.
23. Pipelines. Identify and depict on the Facility Plan each pipeline serving the Facility that is or was situated on the Facility property (either above- or below-ground) during the Company's ownership or operation and state what materials are delivered to the Facility by pipeline. State whether the Company removed any pipelines or other below ground infrastructure and, if so, the dates of such activities.
24. Provide a copy, if applicable, of the Company's Spill Prevention Control and Countermeasure Plan and the Company's Storm Water Best Management Practices Plan for the Facility.

Section 4.0 Civil Litigation, Administrative Enforcement and Criminal Matters

25. Civil Litigation, Administrative Enforcement and Criminal Matters:

- a. Has the Company been a party to any litigation or involved in any other claim where an allegation by or against the Company included environmental contamination of Newtown Creek or contamination of the Facility or any other upland property within one thousand five hundred feet from Newtown Creek (whether or not such other property was owned or operated by the Company and whether the claim was based on the Company's alleged ownership, operation, transporter status, or arranger relationship to the Facility or some other basis)? If yes, identify such litigation or claim, briefly describe the allegation by or against the Company, the status of the litigation or claim, and provide a copy of the pleadings and any settlement agreement or court order.
- b. Has the Company been identified by EPA or by any New York State or New York City agency as a party responsible for environmental contamination at or from the Facility upland property within the Newtown Creek drainage basin whether or not such other property was owned or operated by the Company (whether the claim was based on the Company's alleged ownership, operation, transporter status, or arranger relationship to the facility or some other basis)? If yes, state the Company's understanding of the basis for such notice of responsibility and provide a copy of any correspondence, orders or agreements between the Company and the governmental agency.
- c. Has the Company or an employee, contractor or agent ever been accused of any criminal violation relating to illegal disposal or any other environmental matter in connection with any activity or operation at the Facility? If so, describe the disposition of such accusation and provide details on such accusation.

Section 5.0 Facility Releases, Investigations and Remediation

26. Releases at or from the Facility. Has the Company ever provided notice to or made a report to EPA or to any New York State or New York City agency concerning a spill or release involving the Facility or involving Newtown Creek? If so, describe each spill or release, the constituents of any material released, and provide copies of all communications between the Company and federal, state or local regulatory agency.
27. Soil Removal Actions. Has any contaminated soil ever been excavated or removed from the Facility? If yes, identify the reason for such soil action, the dates of such action, and whether the soil removal was performed under the oversight of EPA, NYSDEC or New York City Department of Environmental Protection ("NYCDEP") or any other regulatory agency and show the location of such actions on the Facility Plan. Provide copies of all reports containing a description of the soil excavation and all data and analyses and copies of any orders or agreements with any regulatory agencies that required or oversaw the work.

28. Groundwater Action. Has the Company treated, pumped, or taken any kind of response action on groundwater under the Facility? If yes, identify the reason for such groundwater action, the dates of such action, and whether the groundwater action was performed under the oversight of any EPA, NYSDEC or NYCDEP or any other regulatory agency and show the location of such actions on the Facility Plan. Provide copies of all reports containing a description of the groundwater action and all data and analyses, and copies of any orders or agreements with any regulatory agencies that required or oversaw the work.
29. Sediments. Has the Company taken any action with respect to sediments in Newtown Creek? Provide a copy of all reports, studies, correspondence or other information concerning the sediments adjacent to the Facility.
30. Releases into Subsurface units. Was there ever a spill, leak, release or discharge of waste, or process residue, including hazardous substances, pollutants, contaminants, industrial waste, or petroleum, into any subsurface disposal system or floor drain inside or under a building situated at the Facility? If yes, provide details of each event and any communication with any federal, state or city regulatory body.
31. Releases to Newtown Creek. Was there ever a spill, leak, release or discharge of a hazardous substance, industrial waste, petroleum or other waste or material into Newtown Creek from the Facility or from any equipment, structure, or activity occurring on, over, or adjacent to Newtown Creek? If yes, identify such release and provide copies of any documents regarding the nature of the material released, the dates of each such occurrence, the amount and location of such release, and whether there was any action to treat or recover any materials that were the subject of the release. Provide copies of all reports containing a description of the groundwater action and all data and analyses, and copies of any orders or agreements with any regulatory agencies that required or oversaw the work.
32. Environmental Investigations at the Facility. Describe the purpose for, the date of initiation and completion, and the results of any investigations of soil, water (ground or surface), sediment, geology, hydrology, or air quality on or about the Facility. Provide copies of all data, reports, and other documents that were generated by the Company or any contractor or consultant, or by a federal or state or City regulatory agency related to the investigations that are described.
33. Monitoring Wells. Identify all groundwater monitoring wells located at the Facility, including locations at the Facility and the dates and purpose for which they were installed. Provide a copy of groundwater data generated from sampling of water from the monitoring wells, the purpose for collection of such data, and all reports prepared for the Company that utilized such data. Show the location of the monitoring wells on a Facility Plan.

34. Phase I, Phase II, EDR and Other Environmental Investigations. Please provide copies of all environmental investigation reports in the Company's possession relating to the Facility. Include, without limitation, Phase I and Phase II reports and any Environmental Data Resources study or report.

Section 6.0 Regulatory Information

35. Regulatory Agencies with Jurisdiction over the Facility. Identify each federal, state and local authority that regulates environmental concerns relating to the ownership or operation at the Facility, the contact point at such agency, the activity regulated and the applicable federal, state and local statute or regulation from which such regulatory authority was derived.
36. Notices of Environmental Violation, Deficiency or Accident. State whether the company has provided notice to any regulatory agency, or received notice from any regulatory agency of any violation, deficiency or accident related to environmental concerns at the Facility including, without limitation, of any discharge to Newtown Creek. Provide a copy of each such notice and all further correspondence or communication relating to such notices of violation.
37. SPDES Permits.
- a. Provide a copy of each separate State Pollutant Discharge Elimination System ("SPDES") permit, and each renewal, held by the Company with respect to the Facility, whether currently in force or expired.
 - b. Provide a copy of all permit applications and correspondence and documents relating to each SPDES permit.
 - c. Provide a copy of each Discharge Monitoring Report applicable to the Company's SPDES permits during the period of the Company's ownership and operation of the Facility.
 - d. Provide a copy of each Notice of Violation with respect to the SPDES permits and documentation with respect to the resolution of each such notice.
38. Other Environmental Permits.
- a. Provide a list of all local, state and federal environmental permits, other than SPDES permits, which have been applied for or issued to the Company with respect to the Facility for any media (e.g., air, New York City sewer, Industrial Pretreatment Program (or any other wastewater discharge), excavation and fill in navigable waters, dredging, tidal wetlands, bulkheads, solid waste or hazardous waste, bulk storage, industrial wastewater, waste handling, etc.) under any environmental statute or regulation.

39. Ongoing Remediation. Identify and provide a copy of all cleanup agreements with federal, state or local environmental regulatory authorities to which the Company or the Facility is subject. Identify the status of current on-site remediation systems installed or maintained under oversight of regulatory authorities.

Section 7.0 Persons with Responsibility for Environmental Matters; Insurance and Indemnification

40. Persons Having Responsibility for Environmental Matters at the Facility. Identify all individuals who currently have and those who previously have had responsibility for the Company's environmental matters (e.g. responsibility for the disposal, treatment, storage, recycling, or sale of the Company's wastes). Also provide each such individual's job title, duties, dates performing those duties, supervisors for those duties, current position or the date of the individual's resignation or termination, and the nature of the information possessed by such individuals concerning the Company's waste management practices.
41. Insurance and Indemnification:
- a. Provide a schedule of liability insurance policies that may provide coverage to the Company for environmental liability associated with Newtown Creek.
 - b. Identify each entity that may have a duty to indemnify the Company for any potential environmental liability in connection with Newtown Creek, identify the circumstances giving rise to the indemnity, and provide a copy of any document that reflects a requirement to so indemnify the Company.
 - c. Identify each entity that the Company has agreed to indemnify for any potential environmental liability in connection with Newtown Creek. Provide a copy of any document that reflects a requirement to indemnify by the Company.
42. Financial Information: Provide a copy of the Company's public financial statements for its most recent fiscal year.

CERTIFICATION OF ANSWERS TO REQUEST FOR INFORMATION
NEWTOWN CREEK SUPERFUND SITE

State of _____:

County of _____:

I certify under penalty of law that I have personally examined and am familiar with the information submitted in this document (response to EPA Request for Information) and all documents submitted herewith, and that based on my inquiry of those individuals immediately responsible for obtaining the information, I believe that the submitted information is true, accurate, and complete, and that all documents submitted herewith are complete and authentic unless otherwise indicated. I am aware that there are significant penalties for submitting false information, including the possibility of fine and imprisonment. I am also aware that the Company is under a continuing obligation to supplement its response to EPA's Request for Information if any additional information relevant to the matters addressed in EPA's Request for Information or my Company's response thereto should become known or available to the Company.

NAME (print or type)

TITLE (print or type)

COMPANY NAME

SIGNATURE

Sworn to before me this _____ day of _____, 2013

Notary Public

My commission expires: _____

[STAMP OR SEAL]

